



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE (Docket No. 12778US03)

In the Application of: **CERTIFICATE OF MAILING** I hereby certify that this correspondence is Saliba being deposited, with sufficient postage, with the United States Postal Service as Serial No.: 10/786,196 first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Filed: February 25, 2004 Alexandria, VA 22313-1450. For: Method and Apparatus for Stock and Index ) Option Price Improvement, Participation, and Internalization Joseph M. Butscher Reg. No. 48,326 Examiner: Jagdish N. Patel Date: January 6, 2006 Group Art Unit: 3624

## SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Dear Sirs:

This Information Disclosure Statement supplements the information disclosure statements filed on February 25, 2004, and September 9, 2004. Pursuant to 37 C.F.R. § 1.56, it is respectfully requested that the reference listed on the attached PTO form be considered in the examination of the above-identified patent application.

This submission, is in no way intended as an admission that the listed reference constitutes prior art under any subsection of 35 U.S.C. § 102. Applicant expressly retains the right to take any actions necessary to remove the references from the available prior art.

Consideration of the reference in the examination of the present patent application is respectfully requested.

No fee is believed to be due because it is believed that this statement is being filed before the first Office Action on the merits has been mailed by the PTO. Please charge any fees due in connection with this statement to the deposit account of McAndrews, Held & Malloy, Ltd., Account No. 13-0017.

Respectfully submitted,

Date: January 6, 2006

Joseph M. Butscher Reg. No. 48,326

PTO/SB/08A (08-03)

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE ork Reduction act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449A/PTO Complete if Known

10/786,196 **Application Number** February 25, 2004 INFORMATION DISCLOSURE **Filing Date First Named Inventor** Saliba STATEMENT BY APPLICANT Group Art Unit 3624 Patel **Examiner Name** 

(use as many sheets as necessary)

12778US03 Attorney Docket Number 1 Sheet of

U.S. PATENT DOCUMENTS						
Examiner Initial*	Cite No.1	Document Number  Number-Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
	A1	6,938,011	08-30-2005	Kemp, II et al.		
	A2					
	A3					
-	A4					
	A5					
	A6					
	A7			·		
	A8					
	A9					
	A10				· ·	
	A11					
	A12					

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. 1	Foreign Patent Document	Publication Date	Name of Patentee or	Pages, Columns, Lines,	T⁵		
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)	MM-DD-YYYY	Applicant of Cited Document	Where Relevant Passages or Relevant Figures Appear			
	A13							
	A14							
	A15							
	A16							
	A17							

OTHER ART NON PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			
	A18				
	A19				
	A20				
	A21				
	A22				

EXAMINER	DATE CONSIDERED	
SIGNATURE	 	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Skind of document by the appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450 Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. Send TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1800-786-9199) and select option 2.